A Manual For Developing Competitive SAMHSA Grant Applications

Training Manual

Module 5: Write Your Grant Application

January 2005

MODULE 5: WRITE YOUR GRANT APPLICATION

OVERVIEW

Module 5 explores the skills and tools to develop a successful grant application. At this point, you will have developed an outline that complies with the Standard Grant Announcement and the specific NOFA evaluation criteria. In this module, you will review the application components and practice completing each section of the grant application and the essential forms, including the budget.

Purpose of Module 5:

The module provides a roadmap to grant application writing, explores the value of a carefully outlined response, and provides specific writing tips and techniques.

Module 5 Objectives:

Upon completion of this module, you will be able to:

- Develop a comprehensive grant application outline
- Assemble and write a thorough project narrative based on the evaluation criteria
- Clarify budget requirements and complete budget forms
- Learn basic evaluation concepts and how to develop an evaluation plan
- Organize and manage a writing team; manage the production of an application.

Module 5 Underlying Assumptions:

1. Before you start writing, you need to study the SAMHSA grant announcement to help you develop a firm foundation for your written response.
2. Completing the application thoroughly — including the provision of a comprehensive project narrative that addresses all requirements and includes all required forms and documentation — puts you in the best position for success.
3. Managing your grant application to include all forms, certifications, and requirements while ensuring your budget is within stated limits will keep you from being "screened out."
4. Understanding the evaluation criteria helps you develop your outline and helps you monitor the quality of your application development.
5. A comprehensive project proposal integrates cultural competence. Including members of the project target population in all aspects of project design and implementation helps ensure that your proposed activities respond to the real needs of the community you wish to serve.
6. Successful applicants assess document quality throughout the application development process and get help when necessary.

Module 5 Agenda:

- Build Your Application Outline
- Sample Services Standard Grant Announcement Application Outline
- Develop and Mange Your Writing Team
- Organize Tasks, Timelines, and Assignments
- Writing Tips
- Develop Your Statement of Need
- Select and Justify Your Proposed Evidence-Based Service/Practice
- Develop Goals
- Develop Objectives
- Develop Tasks
- Develop a Logic Model
- Present Your Implementation Approach
- Demonstrate Cultural Competence
- Cultural Competence Guidelines
- Develop Your Staff and Organizational Experience Plan
- Develop Your Evaluation and Data Plan
- Describe Your Evaluation and Data Plan
- Write Evaluation Questions
- Identify Evaluation Tools and Techniques
- Analyze and Report Your Findings
- Common Evaluation Errors
- Meeting GPRA Requirements
- Adhere to SAMHSA Participant Protection Requirements
- Standards for SAMHSA Participant Protection
- Institutional Review Board (IRB)
- Develop a Budget: Costs and Narrative
- Complete SF 424A (Budget Form)
- Match Activities, Resources, and Staff to Costs
- Justify Costs
- Budget Preparation
- Project Abstract
- Review, Edit, Complete, and Submit Your Application
- Take-Home Points and Summary
- Handouts

Build Your Application Outline

Build Your Application Outline

Create the application outline building on the:

- **Project Narrative; and**
- **Supporting Documentation**

The outline for your application will be based on the Project Narrative and Supporting Documentation sections of the grant announcement. Remember you must check the requirements in the grant announcement you are targeting and the specific NOFA because the title of each section may vary from one announcement to another. Combine all the requirements of the Project Narrative and Supporting Documentation to develop your outline.

We will now discuss a sample outline based on the requirements of the Services Standard Grant Announcement.

Sample Services Standard Grant Announcement Application Outline

Sample Services Standard Grant Announcement Application Outline

Your Services Grant outline will include:

I. Project Narrative
A. Statement of Need
B. Proposed Evidence-Based Service/Practice
C. Proposed Implementation Approach
D. Staff and Organizational Experience
E. Evaluation and Data
II. Supporting Documentation
F. Literature Citations
G. Budget Justification, Existing Resources, and Other Support
H. Biographical Sketches and Job Descriptions
I. Confidentiality/SAMHSA Participant Protection/Human Subjects

The sample outline above reflects the specific elements required if you were writing an application in response to the Standard Services Grant Announcement. You will note that in this outline Item B, Proposed Evidence-Based Service/Practice, is only required for Services Grants and Best Practice Grants. If you were applying for an Infrastructure Grant or Service to Science Grant, Item B is not required.

Handout 5-1, “Build Your Application Outline,” presents a template for developing a working outline for the application. Remember, the Project Narrative in each grant announcement/NOFA may have different evaluation criteria based on the needs of the SAMHSA grant program. The application review committees assess and score your application based on the quality of the responses to each of these elements.

Develop and Manage Your Writing Team

Develop and Manage Your Writing Team

- If possible, assign each section of the Project Narrative to a member of your writing team.
- Choose and assign team members according to their strengths.
- Conduct an initial team meeting to clarify expectations and establish processes and responsibilities, timeframes for deliverables, quality control methods, production procedures, and norms for working together to develop the application.

Create a team to help prepare the entire grant application, including the Project Narrative. Choose an individual who will be responsible for the forms required for the application. A separate team member should be responsible for reviewing all eligibility and screening criteria and setting up the formatting according to mandates. Yet another separate team member should be responsible for assembling the grant (putting it all together in the right order, following ALL INSTRUCTIONS, and ensuring that ALL REQUIRED APPLICATION COMPONENTS are complete). Remember to use your project notebook as a source for much of the required information. As you put your team members together, some questions you may ask are:

- Who has expertise in this area? Do they have the time to commit to this project?
- Who has the organizational and “attention-to-detail” skills to assure instructions, requirements, and formatting needs are met?
- Are potential team members committed to contributing to the application?
- What resources does the team have? What additional resources are needed?
- Do we need additional team members from outside our organization to help prepare the application?
- Given current organizational demands and resources can the team realistically meet the published application deadline?

Activity: Organize Tasks, Timelines, and Assignments

Organize Tasks, Timelines, and Assignments

Refer to Handout 5-1.

- Think about each of the application components, and fill in as many team member names in Handout 5-1 as you can.
- Use the due date column in Handout 5-1 to ensure that you have addressed all the components listed in the grant announcement.

Using the "Services" Standard Grant Announcement and a sample NOFA, practice developing an application outline, including everything required for a complete final application. The outline should illustrate major headings and specific requirements. In developing your outline, you should also consider the following:

- How and where each component and evaluation criterion should be addressed
- How you will decide who will write and produce the various drafts of the application
- How you will determine a firm timeline for the development of the application
- How you will ensure document review and quality control, and
- How you will deliver the application to meet the deadline.

Writing Tips

Writing Tips

- Stick with your strong outline.
- Pay attention to the details.
- Use concise and persuasive language.
- Make sure you follow SAMHSA's organizational requirements for content and format.
- Relate all sentences in a paragraph to the topic sentence.
- Keep in mind that you are writing to the evaluation criteria.
- Make your application easy to read. Leave open white space and use bold headings and subheadings as needed.
- Make sure you provide a direct, clearly explained link between your project and SAMHSA's purpose and goals.
- Make sure your supporting letters endorse the current project activities and the proposed project. Add information about the project personnel and consultants, and provide specifics about what type of support will be made available.
- Prepare a realistic budget with a strong justification and a requested amount at or under the funding limit.
- Make sure your application includes the appropriate authorized signature(s).
- Ensure that your grant application is neat, complete, and submitted on time.

Quality control helps ensure that the application meets the requirements and addresses all the details. Specific quality control steps require that you do the following:

- Conduct internal reviews during the development process. For example, after the first or second draft is complete, seek out neutral third parties to review the application for continuity, clarity, and reasoning.

- Ask for constructive criticism at this point, rather than wait to hear from SAMHSA after the review cycle. For example, even though several people may have written different sections of the application, do they fit together as a single well-written document? Has the writer made unsupported assumptions or used jargon or excessive language in the application?

If you don't use quality control to ensure details are addressed before submitting your application, the SAMHSA review committee members will do it for you. You no longer will have the option to make corrections. In Handout 5-2, "Grant Application Process Worksheet," you can practice putting together the Project Narrative.

Develop Your Statement of Need

Develop Your Statement of Need

- Define the target population and geographic area.
- Gather and analyze information about unmet service needs.
- Show that needs are consistent with the state or tribal priorities
- Use data sources that reviewers know are valid or justify others
- Answer the essential questions in Handout 5-3 to help establish the content for your project need.
- Your project notebook (discussed in Module 2) will provide much of the content for your project description.
- Check the Grant Announcement and NOFA to make sure you are aware of all requirements.

Make sure your application clearly describes your proposed service area and the target population. You must support your understanding of the need for your project with background data. Use quantitative data to describe your target population and community and to justify the need for the proposed project. Use qualitative data to describe the language, beliefs, norms, values, cultural, economic, and resource factors relevant to your target population. Make sure you cite all your data sources and how the data were collected. This helps support the sources as valid, and reliable. Documentation of need may come from a variety of sources including data from local, state, and national sources, as well as other public and private sources.

Your statement of need will become the baseline to measure changes resulting from your project services, so be thorough. Local colleges or universities that have a department related to the application topic may have interest in developing a student or faculty project to conduct your needs assessment. It may be helpful to include examples of the findings to highlight in the application. Conduct focus groups and/or community forums with stakeholders, consumers, families, and other service providers to gather information and support.

The Statement of Need description must provide a clear, concise, and well-supported discussion of the problem to be addressed. The best way to do this is to collect information about the problem and to conduct both formal and informal needs assessment in the target service area. Provide information that is both factual and directly related to the problem addressed by your application. (Handout 5-3 provides questions to answer in the Statement of Need.) Areas to document include:

- The purpose or intent of the project
- The reason for developing the application
- The target population—who they are and how they will benefit
- The social and economic conditions to be affected
- The nature of the problem (provide as much quantitative evidence as possible)
- How your organization came to realize the problem exists, and
- What is currently being done about the problem in the community.

Remember, any local, regional, or State government planning office or local university that offers coursework in planning and evaluation techniques may be able to provide excellent reference materials.

Select and Justify Your Proposed Evidence-Based Service or Practice

Select and Justify Your Proposed Evidence-Based Service/Practice

- State the purpose, goals, and objectives.
- Base the plan on objective information and data that supports effectiveness and acceptability.
- Describe expected meaningful and relevant results.
- Identify the services/practices proposed.
- Design a project Logic Model.

The **Proposed Evidence-Based Service/Practice** section describes the service or practice you plan to implement. “Evidence-based” means that what you are proposing has worked in the past and has been established, documented, evaluated or, published in the peer-reviewed literature as being effective. You should select an evidence-based practice that addresses the goals of the project and the needs of the target population, and be able to describe how this service/practice is expected to work and address the stated problem in your community.

It may be that you want to provide services that you can show have been successful but you want to try with another target population or in a different community. This is acceptable as long as you address what you are trying to do, what you are expecting to happen, and what you will do to modify the project if needed. You will develop a specific purpose and then goals, objectives, and tasks to clearly describe and support your proposed project. ***This must be based on evidence from the field and included as part of your documentation.*** Sources for this information and data are on the SAMHSA Web site. It is also important that you seek out the National, State, and community sources and partnerships discussed earlier to have accurate facts and evidence-based plans.

Explain how this proposed service is appropriate for this target population and what kind of impact you expect based on the objective information and data you have collected. If you are making changes or modifications to what has shown to be a promising practice, explain why those changes are needed. Refer to Handout 5-4, " Select and Justify the Proposed Evidence-Based Service/Practice," and review the questions and considerations that support development of this section. Identify the exact services proposed.

Develop Goals

Develop Goals

To delineate a goal, ask yourself:

- What major milestone do we need to meet to make our project's mission a reality?
- If we succeed, what specific changes will occur in our community? For example: "We will decrease the gang violence by 10 percent among economically disadvantaged youth ages 14 to 20 in the Washington, D.C. metropolitan area."

The project purpose is supported by project goals. Being able to write a meaningful and measurable goal is an essential skill.

The characteristics of effective goals include:

- Goals state the intended results of your project's success in broad terms.
- Goals address outcomes, *not* how the outcomes will be achieved.
- Goals describe the behavior or condition in the community expected to change.
- Goals describe exactly who will be affected by the project.
- Goals lead clearly to one or more measurable results.
- Because goals are customized, application review committees expect no specific number of goals. Depending on the complexity of the work, often two to four goals are expected and should be **listed in the order of priority or importance**.

As you develop your program goals, be aware that your goals should relate to SAMHSA's goals for the overall program as described in the grant announcement and the NOFA. For example, if SAMHSA notes that a grant program is intended to reduce the health and social costs of substance abuse and dependence to the public, and increase the safety of America's citizens by reducing substance abuse related crime and violence, then applicants should develop goals that also address increasing treatment capacity, reducing costs and social consequences, and reducing substance abuse related crime and violence.

Develop Objectives

Develop Objectives

- Make SMART—Specific, Measurable, Achievable, Realistic, and Time-Limited—objectives.
- Example: In the summer of 2006, we will hold three training sessions in cooperation with five partnering agencies that focus on violence prevention techniques for service providers and youth.

Your project may have several objectives, each of which identifies a step toward reaching your goals. Application review committee members pay close attention to well-written objectives.

The SMART model reminds us to develop objectives that are Specific, Measurable, Achievable, Realistic, and Time-limited.

Specific: Objectives should clearly describe the action to be taken. For example, "Outreach workers will administer the HIV risk assessment tool to at least 100 injection drug users in the target community” is a better objective than “Outreach workers will use their skills to reach out to drug users on the street.”

Measurable: Objectives must be measurable to determine whether specific targets have been reached. For example, “The drop-in health center will serve five more homeless patients every day by the end of the first quarter of the second funding year” is a better objective than “Numbers of homeless patients will increase.”

Achievable: Given current resources and the new resources added by the grant, objectives must be feasible. For example, “The new 10-hour part-time nutritionist will have the capacity to see seven teenage mothers each week to design a complete dietary plan” is a better objective than “Teenage mothers will learn about proper nutrition.”

Realistic: Objectives must consider real barriers, recognize appropriate limitations, and anticipate potential problems that need to be addressed by the project. For example, “Two ex-gang members will make one school presentation each week for two months to raise community awareness about the presence of gangs” is a better objective than “Gang-related violence in the community will be halted.”

Time-Limited: Objectives should establish parameters to measure project accomplishments within a specified period related to the grant funding cycle. For example, “We will recruit five new peer educators by the second quarter of the first funding year” is a better objective than “New peer educators will be hired.”

Remember, if your application is funded, your stated objectives will be used to evaluate project progress.

Develop Tasks

Develop Tasks

- Tasks are the precise steps you will follow to carry out each objective.
- Tasks help you identify:

  – *What* tasks need to be done under each objective
  – *Who* will do the tasks
  – *When* they will be done
  – *Where* they will be done
  – *What resources* you need for each task, and
  – *What purpose* the task has (i.e., what outcome is expected as a result of doing each task).

While objectives are more specific than goals, tasks provide the most detail for the steps you will follow to carry out each objective.

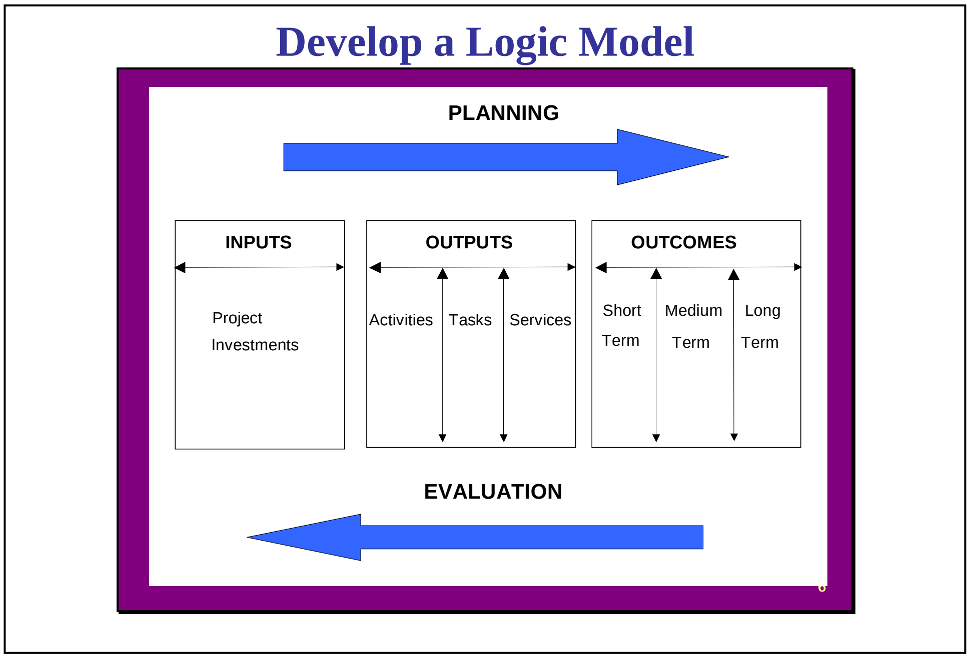
For example:

The *goal* is: “We will decrease gang violence among economically disadvantaged youth ages 14 to 20 in the Washington, D.C. metropolitan area.”

The *objective* is: “We will hold three training sessions on violence prevention techniques for service providers and youth from five partnering agencies in the summer of 2006.”

What might be some *tasks* that would help carry out the objective?

Develop a Logic Model



A Logic Model is a tool to show how your proposed project links the purpose, goals, objectives, and tasks stated with the activities and expected outcomes or "change" and can help to plan, implement, and assess your project. The model also links the purpose, goals, objectives, and activities back into planning and evaluation. A Logic Model is the *picture* of your project. It graphically shows the activities and progression of the project. It should also describe the relationships among what resources you put in (inputs), what you do (outputs), and what happens or results (outcomes). Based on both your planning and evaluating activities, you can then make a "logical" chain of "if-then" relationships.

Look at the graphic above to see the chain of events that links the inputs to outputs, outputs to short-term outcomes (objectives), short-term outcomes to medium-term outcomes (also objectives), and medium-term outcomes to long-term outcomes (goals).

The framework you set up to build your model is based on a review of the Statement of Need, in which you state the conditions that gave rise to the project with your target group. Then you look at the **Inputs,** which are the resources, contributions, time, staff, materials**,** and equipment you will invest to change these conditions. These inputs then are organized into the **Outputs**, which are the activities, services, interventions and tasks that will reach the target population. These outputs then are intended to create **Outcomes** such as changes or benefits for the consumer, families, groups, communities, organizations and SAMHSA. The understanding and further evidence of what works and what does not work will be shown in the **Impact**, which includes achievements that occur along the path of project operation.

Logic Model Activity

Sketch below where you can enter information in your logic model based on your existing or proposed project. Try to link one input, output, outcome, and impact into the model.
Now, ask yourself these questions:

- Did you include this possible impact to the target group in your planning?
- Would you be able to measure (evaluate) how and when the changes occurred along the way?
- Are you able to construct "if" and "then" sentences? An example might be: "*if* we add Spanish-speaking volunteers to our staff, *then* we will reach more consumers with our prevention message." Try to come up with three if-then sentences.

As you develop your project and begin services and activities, continue to add to your logic model to learn how the links are connected.

Your Logic Model Sketch

Present Your Implementation Approach

Present Your Implementation Approach

- Describe the service or practice.
- Clearly state the number of people you propose to serve.
- Show that the methods used reflect cultural competence and document how consumers were or will be involved.
- Apply the "lessons learned" in your potential barriers section.
- Design an innovative project to improve your community while fitting into SAMHSA priorities.
- Address how participants will be recruited and retained.
- Show planning!

Once you have identified your goal, objectives, and tasks, your Implementation Approach becomes your plan for how to solve the issues addressed in your grant application. The way your activities are implemented defines your project. Your Implementation Approach should do the following:

- Once your statement of need is clearly developed, the next step is to identify the solution to your problem.
- Your proposed project activities explain the solution.
- Your implementation approach describes the specific activities, tasks and timelines you will use to fulfill your goals and objectives.
- Describe the project activities to occur and the resources and staff needed to accomplish them. Explain why these methods were chosen.
- State the numbers of people you propose to serve and number and type of services you will provide.
- Explain how members of the target community have been involved in the design of the project. Describe how the methods chosen meet the culturally relevant needs of the community.

- Describe how you have integrated successes from similar projects and SAMHSA priorities into your proposed project. Refer to current literature and explain how it has shaped your proposed project.

- Describe how the parts of the project interrelate, and how the new project components will be embedded within the existing service delivery system

- Assure the application review committee that you will address issues of age, gender, race, ethnicity, culture, language, sexual orientation, disability, literacy and gender. Make no exceptions to any of these categories.

The next section provides a definition and some guidelines for addressing cultural competence as part of your grant application.

Demonstrate Cultural Competence

Demonstrate Cultural Competence

- Cultural competence consists of the knowledge, skills, and attitudes that enable administrators and practitioners to care and provide for diverse populations.

- Cultural competence includes an understanding of the language, beliefs, norms, values, and socioeconomic and political factors that have a significant impact on well-being, assessment, and treatment.

Cultural competence is a critical component of SAMHSA grant programs and is addressed in the grant announcements. Application review committees assess this concept carefully in all applications, *even if the NOFA does not include a specific evaluation criterion for cultural competence*. To address cultural competence in your application, remember that people support what they help create. Therefore, bring the target population into the design, implementation, and evaluation process. SAMHSA wants to see a demonstration of your planning and experience in working with cultural competence.

Cultural Competence Guidelines

Cultural Competence Guidelines

- Demonstrate your history of serving the target population.
- Ensure that project staff reflects the composition of the target population and that all staff members are culturally competent to provide services and conduct evaluation with the target population.

Applications should demonstrate cultural competence *throughout* the project plan, rather than treating it as an add-on to be addressed in a specific section of the grant application. The following guidelines may help ensure appropriate attention to cultural competence in your application.

Experience with the Target Population. Your organization (including affiliated service sites) should have a documented history of positive project involvement with the population to be served by the project. Resources and organizational structures must be adequate to conduct the proposed project within the context of the cultural needs of the target population.

Staff Qualifications. Ideally, staff will reflect the composition of the target population. In any case, staff (including administrators, advisors, and board members) must be gender-, age-, and culturally appropriate and must be qualified to provide services to the target population.

Cultural Competence Guidelines (cont'd.)

- Ensure that the target population is involved actively throughout the project design, application, implementation, and evaluation.
- Ensure that your communication is appropriate for their language and education levels.
- Ensure that project evaluation reflects specific cultural practices or characteristics of the target population.
- Ensure that evaluation tools are appropriate for the target population.

Community Representation. The population targeted by your application should be involved actively as participants throughout the project design. Mechanisms should be established to provide community members with an opportunity to influence and help shape the project's proposed activities and interventions.

Statement of Need and Implementation Approach. Your proposed statement of need and implementation approach must demonstrate cultural competence by identifying specific needs, cultural practices, or characteristics of the target population and describing how these needs will be met by the proposed project.

Language and Communication. Communication must be appropriate for the target population. You should use multilingual resources, including the use of skilled bilingual and bicultural individuals and or sign language specialists, whenever a significant percentage of the target population is not proficient in English or verbal communication. Your application must demonstrate that audiovisual materials, public service announcements, training guides, and print materials to be used in the project are culturally, linguistically and educationally appropriate for the target population.

Evaluation Methods, Screening or Assessment Tools, and Other Survey Instruments. The proposed project evaluation methods and instrument(s) should be appropriate to the population being served. Many screening or assessment tools and survey instruments have not been validated for racial and ethnic groups, even though they are used widely. Every effort should be made to use tools validated *for the target population*. Your application should provide a rationale for the use of proposed evaluation instruments, including a discussion of whether the proposed instruments have been validated for the target population. The application also should specify how the tool will be adapted if it has not been validated for the target population. Also, show how the results of the project will be validated.

Cultural Competence Guidelines (cont'd.)

- Describe how your evaluation demonstrates culturally appropriate analyses.
- State how you will provide feedback and disseminate information to the community in which the data were collected.

Culturally Sensitive Interpretation of Analyses. Your application should demonstrate clearly how your proposed evaluation includes culturally appropriate analyses of the data. Plans to enhance the usefulness of the data may include analysis teams that consist not only of the proper mix of disciplines, but also of persons who are familiar with and sensitive to the cultural factors and issues that may influence outcomes in your target population.

Feedback and Dissemination of Information. Be sure to describe how relevant findings will be disseminated to the communities in which the data were collected. Your application should demonstrate how community members, providers, policymakers, and others will be informed about the data and how the data can be used to improve services to the community.

Develop Your Staff and Organizational Experience Plan

Develop Your Staff and Organizational Experience Plan

- Sell your organization's capability, its uniqueness, and its niche.
- Show how your organization's wealth of experience supports the requirements of the grant announcement.
- Detail the roles and responsibilities of key staff members, and show their qualifications for their specific role in the project.
- Detail the amount of time each person will work on the project.
- Develop a chart or timeline, organized in a way that shows realistic utilization of staff resources.
- Indicate how your staff is reflective of the target population.
- Explain how the staff is competent in the culture of the target population(s).
- Provide evidence of capability, experience, and commitment of proposed consultants and subcontractors.
- Describe resources available to the proposed project and provide evidence that services will be provided in a location that is adequate/accessible.

The Staff and Organizational Experience section of your grant application assures SAMHSA that you have the capacity to carry out all the activities in your application on time and within budget. This slide shows information that should be conveyed in this section of your application.

Handout 5-5, "Develop Your Staff and Organizational Experience Plan," provides critical questions you will need to answer as you put your plan together.

Develop Your Evaluation and Data Plan

Develop Your Evaluation and Data Plan

- SAMHSA wants to learn if you accomplished your goals and objectives.
- Evaluation is designing measurable goals and objectives so you will be able to report:
  - How your work was accomplished (process evaluation), and
  - What changes resulted from your work (impact or outcome evaluation).
- Collect and report data that demonstrate results (the Government Performance and Results Act (GPRA) requires that Federal programs set targets and report results.
- Describe your plan.

Most funding announcement documents include a component that requires applicants to describe the evaluation plan and the qualifications of the chosen evaluator or evaluation team. Evaluation is an important factor in the success of your application, as it helps you and SAMHSA learn what works and what does not work. It is best to propose the strongest evaluation you can conduct with available resources. Determining what does *not* work and why is as important in the learning process as determining what *is* working and why. A strong evaluation helps to improve your project and can enable you to negotiate better with other funding sources, now and in the future, because they will know you are truly searching for the best practice.

Work closely with your project evaluator to develop your plan and strengthen your application. Evaluation is an important factor in the application review process. In grant announcements, the qualifications of the evaluator, the quality of the proposed evaluation, *and* the measurement tools proposed are all components of the evaluation criteria.

Some helpful hints:

- Pay attention to the type of evaluation required in the grant announcement (e.g., measuring process or outcomes) as well as any guidance about what you should evaluate (e.g., project, clients).

- The grant announcement may require that you plan to conduct process evaluation and/or outcome evaluation. *Process evaluation* documents what services were provided, who delivered them, how they were delivered, and to whom they were provided *as it happens*.

Outcome evaluation examines the effect of your project on recipients as well as the factors that contributed to the effects *after the activities*.

- Develop clear evaluation questions linked to the goals and objectives of the project.

- Remember that SAMHSA is committed to cultural competence and community involvement in all elements of project design and implementation. Target audience members should be involved in designing and carrying out project evaluation activities. These activities include determining what you want to accomplish, what you want to learn, how to collect data, how to analyze and understand data, how to distribute your findings, and how your project and community can benefit from the results.

- GPRA reporting is an essential component of the evaluation plan. Make sure GPRA data collection and reporting strategies are considered when developing the evaluation plan.

- Do not forget to add cost for the plan.

Handout 5 -6, "Develop Your Evaluation and Data Plan," lists some critical questions you must be able to answer regarding your evaluation and data plan.

Describe Your Evaluation and Data Plan

Describe Your Evaluation and Data Plan

- Document your ability to collect and report on the Government Performance and Results Act (GPRA) data
- Specify and justify any additional measures you plan to use for your grant project.
- Describe how project data will be collected.
- Describe how GPRA data will be collected.
- Describe the knowledge and experience of the individuals who will conduct the evaluation.
- Identify the data collection instruments needed to demonstrate project performance.

Applicants must submit an evaluation and data plan that integrates evaluation questions, implementation plans, types of data to be collected (e.g., process, outcome, costs, quantitative *and* qualitative data when called for), copies of the instruments to be used, and plans for collecting Government Performance and Results Act (GPRA) data. GPRA is discussed in detail in the grant announcements.

Over the course of an evaluation, methods may need to be revised or modified. For example, the intended use of the evaluation could shift from discovering how to improve the project to helping decide whether the project should continue or not. Thus, methods may need to be adapted or redesigned to keep the evaluation on track.

Write Evaluation Questions

Write Evaluation Questions

- The answers you get are only as good as the questions you ask!
- Trained evaluators know how to frame questions to get reliable and valid answers.
- Consider using an outside evaluator to conduct or oversee the evaluation to avoid the perception of conflict of interest.
- Look carefully at the evaluation section of the grant announcement and NOFA to analyze the scope of the evaluation SAMHSA is expecting.
- If your evaluation is minimal, you may be able to conduct it yourself; a large, multisite, rigorous evaluation may require additional tools and resources.

SAMHSA emphasizes practical, ongoing evaluations that involve project staff, community members, and other stakeholders, *not* just evaluation experts. This type of evaluation has many advantages for both the community and the organization. For example, good evaluation plans;

- Help clarify project plans
- Improve communication among partners and community members, and
- Gather feedback needed to improve and be accountable for program effectiveness in the community.

As you consider what your evaluation must achieve, you should be very clear about the answers to the following questions:

- What will be evaluated?
- What criteria will be used to judge project performance?

- What standards of performance must be reached for the project to be considered successful?
- What evidence will indicate if the standards were met?
- What conclusions about project performance are justified based on the available evidence?

You can involve the target population in designing your evaluation questions by conducting focus groups and community meetings in which you describe your proposed project and ask the community members to help identify the right questions to ask in order to measure change.

Identify Evaluation Tools and Techniques

Identify Evaluation Tools and Techniques

- Your local university may offer help in providing experts in the evaluation field.
- Your evaluator should be with you from the start to help you identify the tools and techniques you will need.
- The model programs you visit may offer available suggestions on evaluation processes and experts.

Your evaluator should be credible to the field, experienced in *your* type of project and *your* type of population, able to collaborate with you, and available to you. Make contacts to find an evaluator as soon as possible—even if you are just beginning to think about applying for a grant.

Identify possible evaluators by contacting professional associations and reading journals in the field. In addition, talk with people who have published on the topic. Departments of psychology, education, public health, and social work at local universities and their extension services may be useful resources.

Analyze and Report Your Findings

- Few individuals have all the skills a good evaluation requires. Consider multiple evaluators or a team.
- Work closely with your evaluator or evaluation team to benefit as much as possible from your evaluation.
- Ensure all evaluation components are integrated (grant objectives, evaluation questions, methodology, instruments, cultural competence, analysis, GPRA).
- Include community members in developing the evaluation plan, analysis, and report.
- Make project results available and accessible to the community.
- Be clear about the expectations of the audiences that will receive your findings.
- Pay attention to the appearance of the report (e.g., layout, clarity of graphics, fonts). Make the document reader-friendly.

Sound evaluation results can have a positive and growth-enhancing function for projects, clients, other professionals, and the surrounding community.

Analysis and synthesis are ways to understand and summarize evaluation findings. How you interpret the meaning and importance of the data is influenced by the questions being asked, the types of data available, and the input received from members of the target community.

Based on your analysis and synthesis, you can develop recommendations, which are possible actions to consider as a result of the evaluation. Forming recommendations means looking at the big picture in the community and asking, “How can this project and this community be more successful because of what we have learned?” Your project evaluation can be strengthened by recommendations that anticipate and react to what staff, clients, other professionals, and the community at large want to know. Several things can help ensure the recommendations will be relevant and well received:

- Inviting input from stakeholders to help develop draft recommendations
- Sharing draft recommendations with multiple stakeholders
- Presenting options instead of directive advice, and
- Citing the benefits to be gained by incorporating lessons learned.

Agree on techniques to analyze, synthesize, and interpret findings before data collection begins.

Common Evaluation Errors

Common Evaluation Errors

These include:

- Ignoring evaluation requirements
- Weak evaluation design
- Unproven evaluation staff
- Unrealistic sample size estimates or dropout rate
- Failure to address each variable (of race, ethnicity, age, gender, sexual orientation, disability, language and economic status)
- Inappropriate evaluation approach and instruments, and
- Inadequate attention to participant protection.

Meeting GPRA Requirements

Meeting GPRA Requirements

- Government Performance and Results Act (GPRA) data are an essential component of Federal grant programs.
- Identify the GPRA data collection requirements early in the application process.
- Integrate GPRA requirements into the project evaluation plan.

GPRA is an essential component of evaluation for Federal grant projects. All SAMHSA grants collect and report performance data. Identify the GPRA data collection and reporting requirements for your application early, and build them into your evaluation plan as you design it, not as an afterthought. That way, you can conduct a single, integrated evaluation, rather than two or even three isolated evaluations.

It will be helpful to review required GPRA core client outcome measures if your project will provide direct services to clients. The grant program contact identified in the grant announcement documents can provide you with information about the appropriate GPRA requirements and technical assistance for evaluation.

Adhere to SAMHSA Participant Protection Requirements

Adhere to SAMHSA Participant Protection Requirements

- Develop and implement confidentiality and other participant protection procedures.
- Comply with 42 CFR Part 2, *Confidentiality of Alcohol and Drug Abuse Patient Records,* when appropriate.
- Ensure equitable selection of participants and adequacy of care.
- Describe potential risks and participant protection procedures in the application.
- Comply with SAMHSA Participant Protection requirements or 45 CFR 46, Protection of Human Subjects, as indicated in the grant announcement.

The grant announcements describe SAMHSA requirements and Federal regulations regarding participant protection. Applicants and grantees are expected to develop and implement appropriate procedures to address confidentiality and other ethical issues pertinent to the protection of human participants in proposed projects. This is not an optional activity. Read the information and directions in the grant announcement carefully.

Confidentiality is particularly important in SAMHSA grant projects because the use of some drugs is illegal and because of the potential for stigmatization of participants receiving treatment or counseling for drug abuse, mental illness, HIV/AIDS, and related problems. If participants in the proposed project could be exposed to any risk of problems through any failure of the project to keep information about them confidential, the applicant must develop procedures to prevent these risks and describe them in the application.

It is important to note the following regarding confidentiality:

- Grantees who provide substance abuse diagnosis, treatment, or referral for treatment must maintain the confidentiality of any patient or client records for alcohol or drug abuse treatment. All grantees must act in accordance with Title 42 of the Code of Federal Regulations, Part 2 (42 CFR Part 2), Confidentiality of Alcohol and Drug Abuse Patient Records.

- Confidentiality regulations are applicable to any information about alcohol and other drug abuse patients obtained by a federally assisted project, as defined in regulations.

- Projects that offer treatment for mental illness must maintain confidentiality in accordance with professional standards of practice and applicable law.

Standards for SAMHSA Participant Protection

Standards for SAMHSA Participant Protection

1. Protection of clients and staff from potential risks
2. Fair selection of participants
3. Absence of coercion
4. Data collection
5. Privacy and confidentiality
6. Adequate consent procedures
7. Discussion of risks and benefit

The standards that define acceptable protections are varied and complex. Every effort must be made to ensure that all participants in SAMHSA-funded programs are appropriately and adequately protected. SAMHSA grant programs must comply with SAMHSA Participant Protection (SPP) requirements. Review the items in the box above. Depending on the evaluation and data collection requirements of the particular funding opportunity or the evaluation design you propose in your application, you may have to comply with the human subjects provisions of Title 45 of the Code of Federal Regulations, Part 46 (45 CFR 46), Protection of Human Subjects (HS). The only difference between the two (SPP and HS) is that when HS is required, an additional element (Institutional Review Board (IRB) approval) must be obtained. Let's discuss this eighth requirement.

Institutional Review Board (IRB)

8. IRB approval

- IRB approval is not required at the time of award, but as a condition of award
- Must describe the process for obtaining approval in the application.

Applicants must be aware that even if the Human Subjects provisions do not apply to all projects funded under a given funding opportunity, the specific evaluation design proposed by the applicant may require compliance with these regulations. The announcement and/or the NOFA will indicate whether all applicants for a particular funding opportunity must obtain IRB approval.

Although IRB approval is not required at the time of grant award, applicants whose projects must comply with HS must describe the process for obtaining IRB approval fully in their applications. You should immediately take steps to identify an IRB that will work with your organization. The Office for Human Research Protections (OHRP) is the HHS entity that maintains Federal responsibility for overseeing compliance with these requirements. OHRP is a good first contact for identifying an IRB.

As a condition of award, you will be required to provide to SAMHSA documentation that an Assurance of Compliance is on file with OHRP and the IRB approval has been received prior to enrolling any clients in the project.

General information about the human subjects provisions can be obtained on the OHRP web site at http://www.hhs.gov/ohrp. You may also contact OHRP by e-mail (ohrp@osophs.dhhs.gov) or by phone (301/496-7005). SAMHSA-specific questions related to this should be directed to the program contact named in the funding announcement or NOFA.

See Handout 5-7, “Participant Protection,” for a description of the participant protection standards that are included in the Services Standard Grant Announcement.

Develop a Budget: Costs and Narrative

Develop a Budget: Costs and Narrative

- The budget provides your projection of all costs for all years of the grant.
- Read and understand the budget forms.
- The budget narrative describes how your organization will use the funds that you are requesting.
- Your plan must demonstrate that grant money will be spent in compliance with grant provisions and Federal regulations.
- Do not go over budget!
- Call the Government Project Officer and Grants Management Contact for help as needed.

In developing your project budget

- Describe how your costs are derived.
- Discuss the necessity and reasonableness of proposed costs.
- Describe the specific functions of personnel, consultants, and collaborators.
- Target the available funds, and do not exceed the stated limit.

Although the budget is not scored in the evaluation process, the evaluators will look at the feasibility and realism of the budget in terms of the grant project's objectives and tasks and make comments on this basis.

Complete Standard Form - SF-424A (Budget Form)

Complete SF-424A (Budget Form)

- Carefully read the instructions for the SF 424A.
- Total cost equals indirect plus direct costs.

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- Call the grants management contact if you do not have an approved Federal indirect cost rate.

The SF-424A (Budget Information – Non-Construction Programs) must be completed using the exact form provided.

Match Activities, Resources, and Staff with Costs

Match Activities, Resources, and Staff to Costs

- Make sure you realistically describe and justify the activities, resources, staff, and other items that cost money as a part of your budget plan.
- Your budget narrative and your project narrative should match, referencing the same activities, resources, staff, and other items.
- Double-check your arithmetic.

A sample SF 424A, along with instructions, is included in the "Resource Section" of this manual. It provides you with specific instructions on how to complete the required information. Handout 5-8, "Sample Budget and Justification," provides an illustration of a budget and narrative justification.

Justify Costs

Justify Costs

- You must be able to justify why resources, staff, and supplies are requested.
- Your budget narrative should provide an explanation of the costs.

Again review the Handout 5-8 and note how items are justified and contain more information on costs.

Budget Preparation

Budget Preparation

- Be sure your narrative addresses each line item for each year of funding.
- Supply budget information for every year for which funding is requested.
- Ask for guidance from the grants management contact named in the grant announcement.

Handout 5-9, “Prepare Your Budget,” is a good checklist to follow when developing the budget for your project.

Develop the Project Abstract

Develop the Project Abstract

- The project abstract summarizes the key elements of your proposed project. The abstract may include:
  - The name and type of the applicant organization
  - The title of the project
  - The mission and goals of the project
  - The target audience of the project
  - The expected number of participants of the project
  - The intended outcome of the project.

Although the project abstract is the first item after the Face Page of the grant application, it may be easier to develop the abstract last, after the other sections are completed. The abstract is an overview of your project.

Helpful hints:

- Your mission statement will be a great resource in writing your abstract.
- The first five lines of your abstract should summarize your project.
- The abstract must be limited to 35 lines.

SAMHSA uses the abstract summaries of funded projects for reporting and publication purposes, such as reports to Congress.

Review, Edit, Complete, and Submit Your Application

Review, Edit, Complete, and Submit Your Application

- Due dates for each section
- Due dates for the first draft
- Due dates for completing forms
- Due dates for the second review
- Final edit
- Production
- Submission
- Application due date
- Double-check using the format checklist to be sure you have met all requirements!

Think about the application due date and work backwards to develop a timeline for internal editing and review cycles. Incorrect or incomplete applications will not make it through the review process. People often underestimate the time needed for production and review, so be realistic when developing your timeline. Use the checklists provided in the grant announcement and NOFA to assure you meet all requirements.

Summary Points to Remember . . .

Take-Home Points and Summary

- All the guidelines for completing a grant application are included in each SAMHSA grant application kit.
- To write a successful application, address each requirement outlined in the grant announcement and the NOFA.
- Develop a comprehensive application outline, assign tasks to your writing team, establish a development plan, and conduct ongoing quality reviews to keep the team focused on the requirements.
- Include the community and members of your target audience in the development of project ideas and implementation plans.
- Address cultural competence throughout your application.
- Apply all necessary resources to evaluation planning and budget development to ensure compliance with requirements.
- Make sure all participant protection items are addressed.
- Make sure your application complies with all PHS 5161-1 requirements. Use checklists to make sure all requirements have been addressed.

MODULE 5

Handouts

Handout 5-1
Build Your Application Outline

Application Component	Individual Responsible	FIRST DRAFT DUE	Second Draft Due	Review Dates	Incorporate Comments	Final	Application Submission

Handout 5-2
Grant Application Process Worksheet

Directions:

Using a Standard Grant Announcement and NOFA and the outline you developed in the last activity, practice developing a project narrative for a grant application. First, study the questions on the grant application process worksheet. Then, using the samples, answer the questions under each section. If you do not know the answer to a question, write a note to remind yourself that you will need to find the answer when you are putting together an application. You can use this worksheet as a model when writing the Project Narrative of your future grant.

Handout 5-3
Organize Your Statement of Need

1. What is the problem to be addressed?
2. What is the extent of the need?
3. Have we discussed the community demographics and problems?
4. Have we documented our rationale for using this population?
5. Is our target population defined?
6. Have we documented the need in this population for the service we provide?
7. What geographic area do we hope to cover?
8. What resources are available for our project?
9. Does our project address any of the resource gaps?
10. Have we provided comparison data?
11. Have we expressed our solution to the problem in terms of goals, objectives, and methods?

Handout 5-4
Select and Justify Your Evidence-Based Service or Practice

1. Do we have evidence based sources for our project development?

2. Have we referenced literature published within the last five years?

3. Have we used authors whose work is cited the most (leaders in the field)?

4. Does the literature reference gaps in knowledge that SAMHSA would want filled?

5. Do we include literature on the cultural dimensions of the problem?

6. Have we paid attention to any specific requirements for epidemiological data?

7. Have we included sources of local data, such as:

   - ❑ State and County public agencies?
   - ❑ School systems?
   - ❑ Court systems?
   - ❑ HIV/AIDS planning councils?
   - ❑ Community health assessments?
   - ❑ United Way organizations?
   - ❑ U.S. Census Bureau and other Federal Agencies?
   - ❑ Hospitals?

Handout 5-5
Develop Your Staff and Organizational Experience Plan

1. Can we sell the organization's capacity, uniqueness, and niche?
2. Can we detail roles and responsibilities of key staff?
3. Can we show the expertise of the staff?
4. Do we know the amount of time each person will work on the project?
5. Have we developed a timetable?
6. Have we demonstrated that the staff reflects and is culturally competent to work with the target group(s)?
7. Have we indicated why consultants are necessary?
8. Have we described the organization's experience, capacity, and uniqueness?
9. Have we detailed the roles and responsibilities of key staff?
10. Have we described the expertise and experience of the staff?
11. Do we know the amount of time each person will work on the project? Is this amount of time reasonable?
12. Have we developed a timetable for starting and completing project activities?
13. Have we indicated the role and reason for using consultants or other external resources?
14. Have we described and documented any cooperative or collaborative agreements made with other organizations included in the application?

Handout 5-6
Develop Your Evaluation and Data Plan

1. Do we understand what evaluation means for this program?
2. Do we know the specific requirements for the evaluation plan in the grant announcement and NOFA?
3. Do we have experienced evaluators to help us plan?
4. Have we brought the evaluator into the design phase?
5. Has our evaluator reviewed the program plan to ensure the objectives are measurable?
6. Do we know what information is needed to conduct the evaluation?
7. Do we know what data collection instruments will be needed?
8. Do we know how the data will be collected?
9. Do we have the necessary internal and external resources to conduct the evaluation? If we use in-house evaluation staff, have we demonstrated a “fire wall” between evaluators and implementers to ensure the objectivity of the evaluators?
10. Have we involved the target population in the evaluation design and implementation?
11. Have we taken steps to ensure cultural competence in the evaluation?
12. Have we addressed how GPRA data will be collected?

Handout 5-7

Participation Protection (Taken from the Services Standard Grant Announcement)

1. **Protect Clients and Staff from Potential Risks**
    - Identify and describe any foreseeable physical, medical, psychological, social and legal risks or potential adverse effects as a result of the project itself or any data collection activity.
    - Describe the procedures you will follow to minimize or protect participants against potential risks, **including risks to confidentiality**.
    - Identify plans to provide guidance and assistance in the event there are adverse effects to participants.
    - Where appropriate, describe alternative treatments and procedures that may be beneficial to participants. If you choose not to use these other beneficial treatments, provide the reasons for not using them.

2. **Fair Selection of Participants**
    - Describe the target population(s) for the proposed project. Include age, gender, and racial/ethnic background and note if the population includes homeless youth, foster children, children of substance abusers, pregnant women, or other targeted groups.
    - Explain the reasons for including groups of pregnant women, children, people with mental disabilities, people in institutions, prisoners, and individuals who are likely to be particularly vulnerable to HIV/AIDS.
    - Explain the reasons for <u>including or excluding</u> participants.
    - Explain how you will recruit and select participants. Identify who will select participants.

3. **Absence of Coercion**
    - Explain if participation in the project is voluntary or required. Identify possible reasons why participation is required, for example, court orders requiring people to participate in a program.
    - If you plan to compensate participants, state how participants will be awarded incentives (e.g., money, gifts, etc.)
    - State how volunteer participants will be told that they may receive services intervention even if they do not participate in or complete the data collection component of the project.

4. **Data Collection**

- Identify from whom you will collect data (e.g., from participants themselves, family members, teachers, others). Describe the data collection procedures and specify the sources for obtaining data (e.g., school records, interviews, psychological assessments, questionnaires, observation, or other sources). Where data are to be collected through observational techniques, questionnaires, interviews, or other direct means, describe the data collection setting.
- Identify what type of specimens (e.g., urine, blood) will be used, if any. State if the material will be used for evaluation or if other use(s) will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.
- In **Appendix 2, "Data Collection Instruments/Interview Protocols,"** copies of <u>all</u> available data collection instruments and interview protocols that you plan to use.

5. **Privacy and Confidentiality**

- Explain how you will ensure privacy and confidentiality. Include who will collect data and how it will be collected.

Describe:

- How you will use data collection instruments.
- Where data will be stored.
- Who will or will not have access to information.
- How the identity of participants will be kept private, for example, through the use of a coding system on data records, limiting access to records, or storing identifiers separately from data.

NOTE: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records according to the provisions of **Title 42 of the Code of Federal Regulations, Part II**.

6. **Adequate Consent Procedures**

- List what information will be given to people who participate in the project. Include the type and purpose of their participation. Identify the data that will be collected, how the data will be used and how you will keep the data private.
- State
  - Whether or not their participation is voluntary.
  - Their right to leave the project at any time without any problems.
  - Possible risks from participation in the project.
  - Plans to protect clients from these risks.
- Explain how you will get consent for youth, the elderly, people with limited reading skills, and people who do not use English as their first language.

NOTE: If the project poses potential physical, medical, psychological, legal, social, or other risks, you **must** obtain <u>written</u> informed consent.

- Indicate if you will obtain informed consent from participants or assent from minors along with consent from their parents or legal guardians. Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?
- Include, as appropriate, sample consent forms that provide for: (1) informed consent for participation in service intervention; (2) informed consent for participation in the data collection component of the project; and (3) informed consent for the exchange (releasing or requesting) of confidential information. The sample forms must be included in **Appendix 3, "Sample Consent Forms,"** of your application. If needed, give English translations.

NOTE: Never imply that the participant waives or appears to waive any legal rights, may not end involvement with the project, or releases your project or its agents from liability for negligence.

- Describe if separate consents will be obtained for different stages or parts of the project. For example, will they be needed for both participant protection in treatment intervention and for the collection and use of data?
- Additionally, if other consents (e.g., consents to release information to others or gather information from others) will be used in your project, provide a description of the consents. Will individuals who do not consent to having individually identifiable data collected for evaluation purposes be allowed to participate in the project?

7. **Risk/Benefit Discussion:**
Discuss why the risks are reasonable compared to expected benefits and importance of the knowledge from the project.

<u>Protection of Human Subjects Regulations</u>

SAMHSA expects that most grantees funded under Services Grant programs will not be required to comply with the Protection of Human Subjects Regulations (45 CFR 46). However, in some instances, special evaluation and data collection requirements for a particular funding opportunity may necessitate that all grantees comply with these regulations. In such instances, the NOFA will explicitly state that grantees must comply with the regulations.

If the NOFA does not explicitly state that grantees must comply with the Protection of Human Subjects Regulations (45 CFR 46), grantees will be required to comply with the regulations only if the project-specific evaluation design proposed by the grantee requires compliance with the regulations.

Handout 5-8
Sample Budget and Justification

ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE JUSTIFICATION FOR COMPLETING SF 424A: SECTION B FOR 01 BUDGET PERIOD

OBJECT CLASS CATEGORIES

Personnel

Job Title	Name	Annual Salary	Level of Effort	Salary being Requested
Project Director	J. Doe	$30,000	1.0	$30,000
Secretary	Unnamed	$18,000	0.5	$ 9,000
Counselor	R. Down	$25,000	1.0	$25,000

Enter Personnel subtotal on 424A, Section B, 6.a. **$64,000**

Fringe Benefits (24%) $15,360

Enter Fringe Benefits subtotal on 424A, Section B, 6.b. **$15,360**

Travel

2 trips for SAMHSA Meetings for 2 Attendees (Airfare @ $600 x 4 = $2,400) + (per diem @ $120 x 4 x 6 days = $2,880)	$5,280
Local Travel (500 miles x .24 per mile)	120

Enter Travel subtotal on 424A, Section B, 6.c. **$ 5,400**

Equipment (List Individually)

"Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals the lesser of (a) the capitalization level established by the governmental unit or nongovernmental applicant for financial statement purposes, or (b) $5000.

Enter Equipment subtotal on 424A, Section B, 6.d.

Supplies

Office Supplies	$500
Computer Software - 1 WordPerfect	500

Enter Supplies subtotal on 424A, Section B, 6.e. **$1,000**

Page 2 - ILLUSTRATION OF DETAILED BUDGET AND NARRATIVE JUSTIFICATION

__**Contractual Costs**__

Evaluation

Job Title	Name	Annual Salary	Salary being Requested	Level of Effort
Evaluator	J. Wilson	$48,000	$24,000	0.5
Other Staff		$18,000	$18,000	1.0

Fringe Benefits (25%) $10,500

Travel

2 trips x 1 Evaluator		
($600 x 2)	$ 1,200	
per diem @ $120 x 6	720	
Supplies (General Office)	500	
Evaluation Direct		$54,920
Evaluation Indirect Costs (19%)		$10,435
Evaluation Subtotal		$65,355

Training

Job Title	Name	Level of Effort	Salary being Requested
Coordinator	M. Smith	0.5	$ 12,000
Admin. Asst.	N. Jones	0.5	$ 9,000
Fringe Benefits (25%)			$ 5,250

Travel

2 Trips for Training		
Airfare @ $600 x 2	$ 1,200	
Per Diem $120 x 2 x 2 days	480	
Local (500 miles x .24/mile)	120	

Supplies

Office Supplies	$ 500
Software (WordPerfect)	500

Other

Rent (500 Sq. Ft. x $9.95)	$ 4,975	
Telephone	500	
Maintenance (e.g., van)	$ 2,500	
Audit	$ 3,000	
Training Direct		$ 40,025
Training Indirect		$ -0-

Enter Contractual subtotal on 424A, Section B, 6.f. $105,380

<u>Other</u>

Consultants = Expert @ $250/day X 6 day $ 1,500
(If expert is known, should list by name)

Enter Other subtotal on 424A, Section B, 6.h.	**$ 1,500**
Total Direct Charges (sum of 6.a-6.h) **Enter Total Direct on 424A, Section B, 6.i.**	**$192,640**

<u>Indirect Costs</u>

15% of Salary and Wages (copy of negotiated indirect cost rate agreement attached)

Enter Indirect subtotal of 424A, Section B, 6.j.	**$ 9,600**

<u>TOTALS</u>

Enter TOTAL on 424A, Section B, 6.k.	**$202,240**

<u>JUSTIFICATION</u>

PERSONNEL - Describe the role and responsibilities of each position.

FRINGE BENEFITS - List all components of the fringe benefit rate.

EQUIPMENT - List equipment and describe the need and the purpose of the equipment in relation to the proposed project.

SUPPLIES - Generally self-explanatory; however, if not, describe need. Include explanation of how the cost has been estimated.

TRAVEL - Explain need for all travel other than that required by SAMHSA.

CONTRACTUAL COSTS - Explain the need for each contractual arrangement and how these components relate to the overall project.

OTHER - Generally self-explanatory. If consultants are included in this category, explain the need and how the consultant's rate has been determined.

INDIRECT COST RATE - If your organization has no indirect cost rate, please indicate whether your organization plans to a) waive indirect costs if an award is issued, or b) negotiate and establish an indirect cost rate with DHHS within 90 days of award issuance.

CALCULATION OF FUTURE BUDGET PERIODS
(based on first 12-month budget period)

Review and verify the accuracy of future year budget estimates. Increases or decreases in the future years must be explained and justified and no cost of living increases will be honored. (NOTE: Effective January 1, 2005 the new salary cap is $180,100.)*

	First 12-month Period	Second 12-month Period	Third 12-month Period
Personnel			
Project Director	30,000	30,000	30,000
Secretary**	9,000	18,000	18,000
Counselor	25,000	25,000	25,000
TOTAL PERSONNEL	64,000	73,000	73,000

*Consistent with the most recent legislative requirement.
**Increased from 50% to 100% effort in 02 through 03 budget periods.

Fringe Benefits (24%)	15,360	17,520	17,520
Travel	5,400	5,400	5,400
Equipment	-0-	-0-	-0-
Supplies***	1,000	520	520

***Increased amount in 01 year represents costs for software.

Contractual			
Evaluation****	65,355	67,969	70,688
Training	40,025	40,025	40,025

****Increased amounts in 02 and 03 years are reflected of the increase in client data collection.

Other	1,500	1,500	1,500
Total Direct Costs	192,640	205,934	208,653
Indirect Costs (15% S&W)	9,600	9,600	9,600
TOTAL COSTS	202,240	216,884	219,603

The Federal dollars requested for all object class categories for the first 12-month budget period are entered on Form 424A, Section B, Column (1), lines 6a-6i. The total Federal dollars requested for the second through the fifth 12-month budget periods are entered on Form 424A, Section E, Columns (b) – (e), line 20. The RFA will specify the maximum number of years of support that may be requested.

Handout 5-9
Prepare Your Budget

Use this chart as a checklist to help you complete the Budget and Budget Narrative of your grant application.

Budget Section	Yes	No Plan to Do
Did we check to see if the budget includes all the staffing, activities, and resource needs outlined in the project narrative not exceeding the total funds available?		
Did we adhere to the agency budget guidelines in planning and allocating resources for various objectives and tasks?		
Have we established and documented our approved Federal indirect cost rate?		
Have we reviewed all the budget forms and gathered the appropriate budget information and documentation needed to complete the forms?		
Did we use basic accounting concepts and terminology?		
Have we assembled and explained all required cost justification documents?		
Did we recruit someone with solid accounting experience related to grants and projects to assist our writing team?		
Did we involve the accountant in the program planning to ensure proper integration of resources with project objectives?		
Did we project our expenses as accurately as possible and double-check our projections and totals?		
Did we project budget requirements and narrative for each year of the grant?		

- ❑ How much will the project cost?
- ❑ Have we divided the expenses into three sections (i.e., personnel expenses, direct project expenses, and administrative or overhead expenses)?
- ❑ Do we need an IRS letter declaring our organization as tax-exempt?
- ❑ Do we need to list our board of directors and each board member’s affiliations?
- ❑ Do we need to include a financial statement from the last complete fiscal year?